



JFW
+

| | | | |
|--|-----------------------|------------------------|-------------|
| TRANSMITTAL FORM <i>(to be used for all correspondence during pendency of filed application)</i> | Application Number | 10/727,700 | |
| | Filing Date | December 3, 2003 | |
| | First Named Inventor | Gautam H. Mudunuri | |
| | Group Art Unit Number | 2171 | |
| | Examiner Name | Safet Metjahic | |
| Total Number of Pages in This Submission | 8 | Attorney Docket Number | 23402-08572 |

| ENCLOSURES (check all that apply) | |
|--|--|
| <input type="checkbox"/> Fee Transmittal Form (in duplicate) <input type="checkbox"/> Check Enclosed <input checked="" type="checkbox"/> Return Receipt Postcard <input type="checkbox"/> Response to Notice to File Missing Parts <input type="checkbox"/> Assignment & Recordation Cover Sheet <input type="checkbox"/> Declaration <input type="checkbox"/> Power of Attorney <input type="checkbox"/> Application Data Sheet <input checked="" type="checkbox"/> Supplemental Information Disclosure Statement & PTO/SB/08A <input type="checkbox"/> Copies of IDS Cited References <input type="checkbox"/> Request for Corrected Filing Receipt <input type="checkbox"/> Request for Correction of Recorded Assignment <input type="checkbox"/> Amendment/Response: [] Page(s) <input type="checkbox"/> After Final <input type="checkbox"/> Status Request <input type="checkbox"/> Revocation and Substitute Power of Attorney | <input type="checkbox"/> Issue Fee Transmittal <input type="checkbox"/> Letter to Chief Draftsperson <input type="checkbox"/> Formal Drawing(s): [] Sheet(s) of Figure(s) [] <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> After Allowance Communication to Group <input checked="" type="checkbox"/> Copies of pages 4 and 6 of PTO/SB/08A form with strikethrough <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| REMARKS: | |

| SIGNATURE OF ATTORNEY OR AGENT | |
|--------------------------------|-----------------------------------|
| Signature: | |
| Attorney/Reg. No.: | Jennifer R. Bush, Reg. No. 50,784 |
| Dated: | 6/16/04 |

| CERTIFICATE OF MAILING | |
|---|------------------|
| I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10. | |
| Signature: | |
| Typed or Printed Name: | Jennifer R. Bush |
| Dated: | 6/16/04 |
| Express Mail Mailing Number (optional): | |



UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Gautam H. Mudunuri and Raymond G. To
APPLICATION NO.: 10/727,700
FILING DATE: December 3, 2003
TITLE: Set-Oriented Real-Time Data Processing Based on Transaction
Boundaries
EXAMINER: Safet Metjahic
GROUP ART UNIT: 2161
ATTY. DKT. NO.: 23402-08572

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below:

Dated: June 16, 2006

By: 

Jennifer R. Bush, Reg. No.: 50,784

MAIL STOP AMENDMENT
COMMISSIONER FOR PATENTS
P.O. BOX 1450
ALEXANDRIA, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Under 37 CFR §§ 1.56 and 1.97-98

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO/SB/08A listing references for consideration by the Examiner. Please note the references cited replace the references A77 and A126 cited in the Information Disclosure Statement mailed January 23, 2006, due to a typographical error in the number of the cited patents. Enclosed are copies of pages 4 and 6 of the PTO/SB/08A originally filed with a strikethrough of the references with the typographical errors.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:


- ☒ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;
- ☐ before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;
- ☐ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
 - ☐ attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR § 1.97(c); OR
 - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
 - ☐ each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
 - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
- ☐ on or before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; (2) a notice of allowance under 37 CFR § 1.311; or (3) an action that otherwise closes prosecution in the application, and:
 - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
 - ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a

- foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement;
- ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND
- ☐ attached hereto is the fee set forth under 37 CFR §1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(d); OR
- ☐ after the payment of the issue fee. Applicant requests that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- ☐ Enclosed is a copy of each listed reference that may be material to the examination of this application, and for which there may be a duty to disclose.
- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. _____, filed on _____, and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- ☐ Copies of any foreign patent documents and non-patent literature cited herein are enclosed.
- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).
- ☒ Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

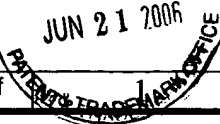
Respectfully submitted,
GAUTAM H. MUDUNURI ET AL.

Dated: June 16, 2006

By: 
Jennifer R. Bush, Reg. No.: 50,784
Fenwick & West LLP
Silicon Valley Center
801 California Street
Mountain View, CA 94041
Tel.: (650) 335-7213
Fax.: (650) 938-5200

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

JUN 21 2006



Complete if Known

| | |
|------------------------|--------------------|
| Application No. | 10/727,700 |
| Filing Date | December 3, 2003 |
| First Named Inventor | Gautam H. Mudunuri |
| Art Unit | 2161 |
| Examiner Name | Safet Metjahic |
| Attorney Docket Number | 23402-08572 |

Sheet

1

of

1

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document No. Number – Kind Code ² (if known) | Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document |
|--------------------|-----------------------|--|--------------------|--|
| | A77 | US-6,272,598 | 08-07-2001 | Arlitt et al. |
| | | US- | | |
| | | US- | | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document Country Code ³ – Number ⁴ Kind Code ⁵ (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | T ⁶ |
|--------------------|-----------------------|--|--------------------------------|--|----------------|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published | T ⁶ |
|--------------------|-----------------------|--|----------------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

| | | | |
|--------------------|--|-----------------|--|
| Examiner Signature | | Date Considered | |
|--------------------|--|-----------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

23402/08572/DOCS/1631854.1

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

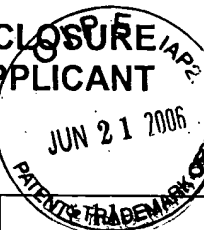
**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT****Complete if Known**

| | |
|------------------------|--------------------|
| Application No. | 10/727,700 |
| Filing Date | December 3, 2003 |
| First Named Inventor | Gautam H. Mudunuri |
| Art Unit | 2161 |
| Examiner Name | Safet Metjahic |
| Attorney Docket Number | 23402-08572 |

Sheet

4

of

**U.S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. ¹ | Document No. Number - Kind Code ² (if known) | Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document |
|--------------------|-----------------------|--|--------------------|--|
| | A76 | US-6,233,575 | 05-2001 | Agrawal et al. |
| | A77 | US-6,262,598 B1 | 08-2001 | Lapp et al. |
| | A78 | US-6,269,336 | 07-2001 | Itabashi et al. |
| | A79 | US-6,269,369 | 07-2001 | Robertson, Brian D. |
| | A80 | US-6,272,485 | 08-2001 | Sragner, Ruth |
| | A81 | US-6,292,657 | 09-2001 | Laursen et al. |
| | A82 | US-6,308,203 | 10-2001 | Itabashi et al. |
| | A83 | US-6,336,137 B1 | 01-2002 | Lee et al. |
| | A84 | US-6,339,775 B1 | 01-2002 | Zamanian et al. |
| | A85 | US-6,369,840 | 04-2002 | Barnett et al. |
| | A86 | US-6,385,604 | 05-2002 | Bakalash et al. |
| | A87 | US-6,393,386 | 05-2002 | Zager et al. |
| | A88 | US-6,404,884 | 06-2002 | Marwell et al. |
| | A89 | US-6,408,292 | 06-2002 | Bakalash et al. |
| | A90 | US-6,411,936 | 06-2002 | Sanders, Aaron M. |
| | A91 | US-6,418,200 | 07-2002 | Ciccolella et al. |
| | A92 | US-6,421,781 | 07-2002 | Fox et al. |
| | A93 | US-6,424,426 | 07-2002 | Henry |
| | A94 | US-6,430,624 B1 | 08-2002 | Jamtgaard et al. |
| | A95 | US-6,438,522 B1 | 08-2002 | Tate |
| | A96 | US-6,446,059 | 09-2002 | Berger et al. |
| | A97 | US-6,446,062 B1 | 09-2002 | Levine et al. |
| | A98 | US-6,446,096 B1 | 09-2002 | Holland et al. |
| | A99 | US-6,449,619 B1 | 09-2002 | Colliat et al. |
| | A100 | US-6,457,030 B1 | 09-2002 | Adams et al. |

| | | | |
|--------------------|--|-----------------|--|
| Examiner Signature | | Date Considered | |
|--------------------|--|-----------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

23402/08572/DOCS/1590578.1

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| | | | |
|--|---|--------------------------|--------------------|
| Substitute for form 1449A/PTO | | Complete if Known | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT | | Application No. | 10/727,700 |
| | | Filing Date | December 3, 2003 |
| | | First Named Inventor | Gautam H. Mudunuri |
| | | Art Unit | 2161 |
| | | Examiner Name | Safet Metjahic |
| | | Attorney Docket Number | 23402-08572 |
| Sheet | 6 | | |

| U.S. PATENT DOCUMENTS | | | | |
|-----------------------|--------------------------|---|--------------------|--|
| Examiner Initials* | Cite No. ¹ | Document No. Number – Kind Code ² (if known) | Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document |
| | A126 | US-6,736,870 B2 | 10-2003 | Raccaforte, Raymond |

| FOREIGN PATENT DOCUMENTS | | | | | |
|--------------------------|--------------------------|--|--------------------------------|--|----------------|
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document Country Code ³ – Number ⁴ Kind Code ⁵ (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | T ⁶ |
| | B1 | EP 0987868 A3 | 03-2000 | Schwartz, Bruce V. | |
| | B2 | EP 1043671 A2 | 10-2000 | Bird et al. | |
| | B3 | EP 1164511 A2 | 12-2001 | Griffin et al. | |
| | B4 | GB 2,350,758 | 12-2000 | IBM | |
| | B5 | GB 2,357,596 | 06-2001 | University College London | |
| | B6 | WO 00/04466 | 01-2000 | Suresh, Sankaran | |
| | B7 | WO 00/08581 | 02-2000 | Harvest Technology Inc. | |
| | B8 | WO 00/77707 | 12-2000 | Star, Barry | |
| | B9 | WO 01/18728 | 03-2001 | GETAPPROVED COM LLC | |
| | B10 | WO 01/20438 | 03-2001 | Ericsson Inc. | |
| | B11 | WO 01/24040 | 05-2001 | HNC Software, Inc. | |
| | B12 | WO 02/44953 | 06-2002 | Intel Corp. | |
| | B13 | WO 99/24922 | 05-1999 | Zamanian, M et al. | |
| | | | | | |
| | | | | | |

| | | | |
|-----------------------|--|--------------------|--|
| Examiner Signature | | Date Considered | |
|-----------------------|--|--------------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.